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(Signature & date)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of \_\_\_\_\_: Kangguo Cheng, et al.  
July 23, 2004 Group Art Unit: Unassigned  
Serial No. 10/710,608 Examiner: Unassigned  
Filed: 12/31/2001 International Business Machines Corporation  
2070 Route 52  
Hopewell Junction, NY 12533

**TITLE:    PATTERNED STRAINED SEMICONDUCTOR SUBSTRATE AND DEVICE**

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to the duty of disclosure set forth in 37 C.F.R. 1.56, and further pursuant to the provisions of 37 C.F.R. 1.97 and 1.98, applicants hereby respectfully submit copies of the non-US patents and publications as listed on Form PTO-1449, attached hereto.

In citing these documents, no representation is made nor intended as to the pertinency or non-pertinency of the art, that better art than that listed is not available, or that other art is not applicable.

If any fees are required, the Commissioner is hereby authorized to charge such fees to Deposit Account No. 09-0458.

Respectfully submitted,  
Kangguo Cheng, et al.

By Joseph P. Abate 7-23-04  
Joseph P. Abate, Attorney  
Registration No. 30,238  
Telephone No. 845-894-4633

REFERENCE DESIGNATION	U.S. PATENT DOCUMENTS
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# FOREIGN PATENT DOCUMENTS

**OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)**

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449 (Modified)

LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENTATTY. DOCKET NO.  
FIS920040150US1SERIAL NO.  
10/710,608APPLICANT:  
Kangguo CHENG, *et al.*

(Use several sheets if necessary)

FILING DATE:  
07/23/04GROUP:  
Unassigned

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIALS		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPRO.)
		5,081,513	1/14/1992	Jackson, et al.			
		3,602,841	8/31/1971	McGroddy			
		6,531,740	3/11/2003	Bosco, et al.			
		6,531,369	3/11/2003	Ozkan, et al.			
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		6,246,095	6/12/2001	Brady, et al.			
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		6,025,280	2/15/2000	Brady, et al.			

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

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LIST OF PATENTS AND PUBLICATIONS APPLICANT'S INFORMATION DISCLOSURE STATEMENT	APPLICANT: Kangguo CHENG, <i>et al.</i>	
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## U.S. PATENT DOCUMENTS

EXAMINER INITIALS	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPRO.)
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	5,880,040	3/9/1999	Sun, et al.			
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## FOREIGN PATENT DOCUMENTS

DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
					YES	NO

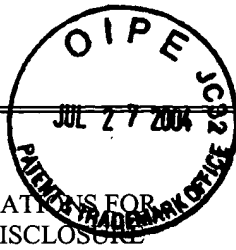
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FORM PTO-1449 (Modified)	ATTY. DOCKET NO. FIS920040150US1	SERIAL NO. 210/710,608
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	APPLICANT: Kangguo CHENG, <i>et al.</i>	
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## U.S. PATENT DOCUMENTS

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	6,274,444	8/14/2001	Wang			
	6,261,964	7/17/2001	Wu, et al.			
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10/710,608LIST OF PATENTS AND PUBLICATIONS FOR THE APPLICANT'S  
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## OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

		Kern Rim, et al., "Transconductance Enhancement in Deep Submicron Strained-Si <i>n</i> -MOSFETs", International Electron Devices Meeting, 26, 8, 1, IEEE, September 1998.
		Kern Rim, et al., "Characteristics and Device Design of Sub-100 nm Strained Si N- and PMOSFETs", 2002 Symposium On VLSI Technology Digest of Technical Papers, IEEE, pp 98-99.
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		Shinya Ito, et al., "Mechanical Stress Effect of Etch-Stop Nitride and its Impact on Deep Submicron Transistor Design", International Electron Devices Meeting, 10.7.1, IEEE, April 2000.
		A. Shimizu, et al., "Local Mechanical-Stress Control (LMC): A New Technique for CMOS-Performance Enhancement", International Electron Devices Meeting, IEEE, March 2001.
		K. Ota, et al., "Novel Locally Strained Channel Technique for high Performance 55nm CMOS", International Electron Devices Meeting, 2.2.1, IEEE, February 2002.

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